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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	<b>10/063,601</b>
	<b>Filing Date</b>	<b>05/03/2002</b>
	<b>First Named Inventor</b>	<b>Nicholas Roddy</b>
	<b>Group Art Unit</b>	<b>Not Assigned</b>
	<b>Examiner Name</b>	<b>Not Assigned</b>
<b>Total Number of Pages in This Submission</b>	<b>Attorney Docket Number</b>	<b>121891/624226-352</b>

<b>ENCLOSURES (check all that apply)</b>		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1) Information Disclosure Statement (original and 2 copies)
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2) Post Card
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<b>Remarks</b>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>	
<b>Firm or Individual name</b>	<b>Enrique J. Mora, Esquire Beusse, Brownlee, Bowdoin &amp; Wolter, P. A.</b>
<b>Signature</b>	
<b>Date</b>	<b>May 9, 02</b>

<b>CERTIFICATE OF MAILING</b>	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <b>May 9, 2002</b>	
<b>Typed or printed name</b>	<b>Evelyn J. Gish</b>
<b>Signature</b>	
<b>Date</b>	<b>5/9/2002</b>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Applicants: **Nicholas Roddy,** Group Art Unit: Not Assigned  
**et al.**

Serial No. **10/063,601** Examiner: Not Assigned

Filed: **05/03/2002**

For: **Method And System For Analyzing  
Fault And Quantized Operational  
Data For Automated Diagnostics of  
Locomotives**

#### INFORMATION DISCLOSURE STATEMENT

- ☒ 1. Pursuant to 37 CFR 1.97(b)  
(within 3 months of filing or prior to 1st Office Action)
- ☐ 2. Certification Pursuant to 37 CFR 1.97(c)  
(before Final Office Action or Allowance)
- ☐ 3. Fee Payment Pursuant to 37 CFR 1.97(c)  
(before Final Office Action or Allowance)
- ☐ 4. Petition, Certification & Petition Fee Payment Pursuant to 37 CFR  
1.97(d) (before issue fee payment)

Commissioner of Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance  
with 37 CFR 1.97 & 1.98:

- ☒ 5. A list of documents on form PTO-1449 together with copies of each  
identified document and a translation or a concise explanation of each non-  
English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☒ 6. 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
- ☐ 7. 37 CFR 1.97(c): [before Final office Action or Allowance, whichever is  
earlier; and

- ☐ 8. The required certification made in item 11 below; or
- ☐ 9. The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement.
- ☐ 10. 37 CFR §1.95(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g. "Allowed Files, Batch \_\_\_\_, Date of Allowance \_\_\_\_"), and
- b) The required Certification is stated in item 11 below.
- ☐ 11. Certification
- ☐ 12. Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
- or
- ☐ 13. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☐ 14. Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. \_\_\_\_\_.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



Enrique J. Mora

Reg. No. 36,875

Beusse, Brownlee, Bowdoin  
& Wolter, P. A.

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Orlando, FL 32801  
(407) 926-7705

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/063,601
				Filing Date	05/03/2002
				First Named Inventor	Nicholas Roddy
				Group Art Unit	Not Assigned
				Examiner Name	Not Assigned
Sheet	1	of	3	Attorney Docket Number	121891/624226-352

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,062,061		Batchelor et al.	12/06/1977	
	2	4,270,174		Karlin et al.	05/26/1981	
	3	4,322,813		Howard et al.	03/30/1982	
	4	4,463,418		O'Quin, II, et al.	07/31/1984	
	5	4,517,468		Kemper et al.	05/14/1985	
	6	4,521,847		Ziehm et al.	06/04/1985	
	7	4,695,946		Andreasen et al.	09/22/1987	
	8	4,823,914		McKinney et al.	04/25/1989	
	9	4,970,725		McEnroe et al.	11/13/1990	
	10	4,977,390		Saylor et al.	12/11/1990	
	11	5,023,817		Au et al.	06/11/1991	
	12	5,113,489		Cihwsky et al.	05/12/1992	
	13	5,123,017		Simpkins et al.	06/16/1992	
	14	5,127,005		Oda et al.	06/30/1992	
	15	5,157,610		Asano et al.	10/20/1992	
	16	5,274,572		O'Neill et al.	12/28/1993	
	17	5,282,127		Mii	01/25/1994	
	18	5,287,505		Calvert et al.	02/15/1994	
	19	5,321,837		Daniel et al.	06/14/1994	
	20	5,329,465		Arcella et al.	07/12/1994	
	21	5,400,018		Scholl et al.	03/21/1995	
	22	5,406,502		Haramaty et al.	04/11/1995	
	23	5,445,347		Ng	08/29/1995	
	24	5,463,768		Cuddihy et al.	10/31/1995	
	25	5,508,941		Leplingard et al.	04/16/1996	
	26	5,528,516		Yemini et al.	06/18/1996	
	27	5,566,091		Schricker et al.	10/15/1996	
	28	5,594,663		Messaros et al.	01/14/1997	
	29	5,596,712		Tsuyama et al.	01/21/1997	
	30	5,633,628		Denny et al.	05/27/1997	
	31	5,638,296		Johnson et al.	06/10/1997	
	32	5,661,668		Yemini et al.	08/26/1997	
	33	5,666,481		Lewis	09/09/1997	
	34	5,666,534		Gilbert et al.	09/09/1997	
	35	5,678,002		Fawcett et al.	10/14/1997	
	36	5,680,541		Kurosu et al.	10/21/1997	
	37	5,729,452		Smith et al.	03/17/1998	
	38	5,742,915		Stafford	04/21/1998	
	39	5,774,645		Beaujard et al.	06/30/1998	
	40	5,790,780		Brichta et al.	08/04/1998	

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

**Complete if Known**

<b>Application Number</b>	10/063,601
<b>Filing Date</b>	05/03/2002
<b>First Named Inventor</b>	Nicholas Roddy
Group Art Unit	Not Assigned
Examiner Name	Not Assigned
Attorney Docket Number	121891/624226-352

Sheet	2	of	3
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	41	5,799,148		Cuddihy et al.	08/25/1998	
	42	5,815,071		Doyle	09/29/1998	
	43	5,835,871		Smith et al.	11/10/1998	
	44	5,845,272		Morjaria et al.	12/01/1998	
	45	5,862,316		Hagersten et al.	01/19/1999	
	46	5,928,369		Keyser et al.	07/27/1999	
	47	5,950,147		Sarangapani et al.	09/07/1999	
	48	5,956,664		Bryan	09/21/1999	
	49	6,052,631		Busch et al.	04/18/2000	
	50	6,078,851		Sugitani	06/20/2000	
	51	6,144,901		Nickles et al.	11/07/2000	
	52	6,175,934		Hershey et al.	01/16/2001	
	53	6,216,066		Goebel et al.	04/10/2001	
	54	6,336,065		Gibson et al.	01/01/2002	
	55	6,343,236		Gibson et al.	01/29/2002	
	56	09/285,612		Anil Varma, et al.	pending	filed 04/02/1999
	57	09/688,105		Anil Varma, et al.	pending	filed 10/13/2000

## FOREIGN PATENT DOCUMENTS

[illegible]

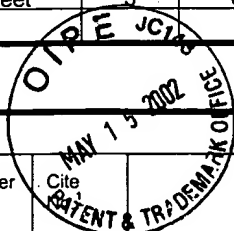
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Signature**

Date  
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

Substitute for form 1449B/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Application Number</b>	10/063,601
				<b>Filing Date</b>	05/03/2002
				<b>First Named Inventor</b>	Nicholas Roddy
				<b>Group Art Unit</b>	Not Assigned
				<b>Examiner Name</b>	Not Assigned
<b>Sheet</b>	3	<b>of</b>	3	<b>Attorney Docket Number</b>	121891/624226-352



OTHER PRIOR ART – NONPATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	Data-Tronic Gas Turbine Information And Control System; General Electric Gas Turbine Reference Library; 8 pgs.	
	2		
	3		
	4		
	5		

<b>Examiner Signature</b>		<b>Date Considered</b>	
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<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.